

FIG. 1

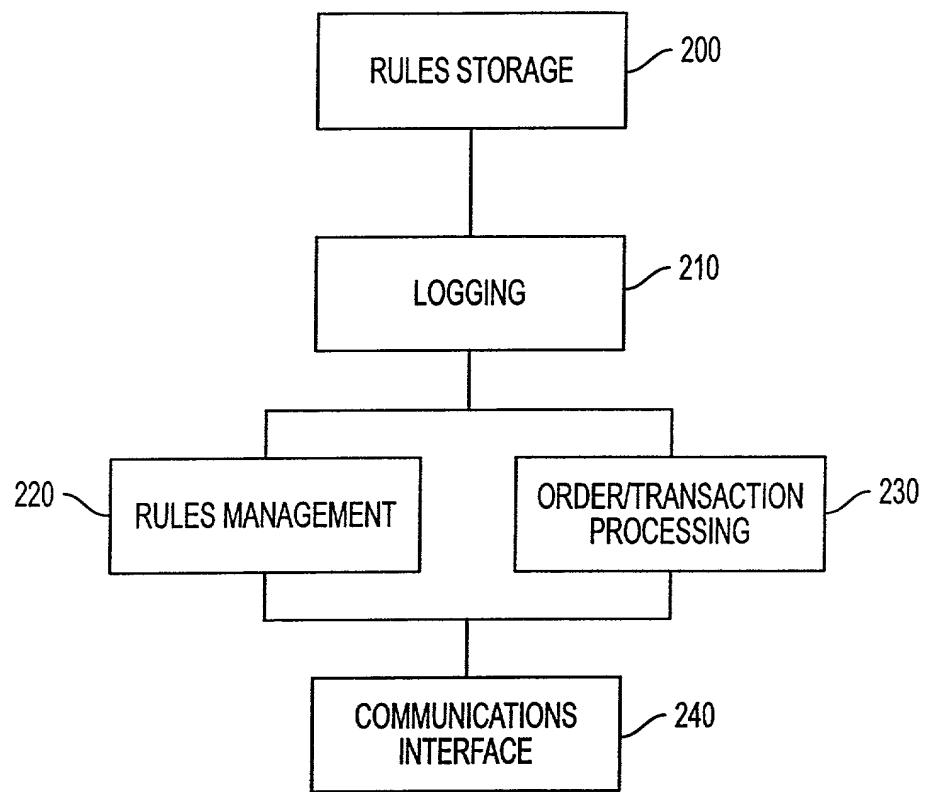


FIG. 2

<u>EXAMPLE:</u>	<u>TYPE</u>	<u>POSSIBLE LEVEL(S)</u>	<u>POSSIBLE OUTCOME(S)</u>
NUMBER 1011	MANDATORY	FIRM	STOP

THIS RULE STOPS AN ORDER FOR AN ACCOUNT THAT IS CLOSED.

FIG. 3A

<u>EXAMPLE:</u>	<u>TYPE</u>	<u>POSSIBLE LEVEL(S)</u>	<u>POSSIBLE OUTCOME(S)</u>
NUMBER 1141	OPTIONAL	FIRM OFFICE INVESTMENT PROFESSIONAL ACCOUNT	STOP APPROVAL WARNING ACCEPTANCE

THIS RULE INDICATES THAT AN ORDER HAS BEEN PLACED WHICH EXCEEDS A CREDIT LIMIT PARAMETER

FIG. 3B

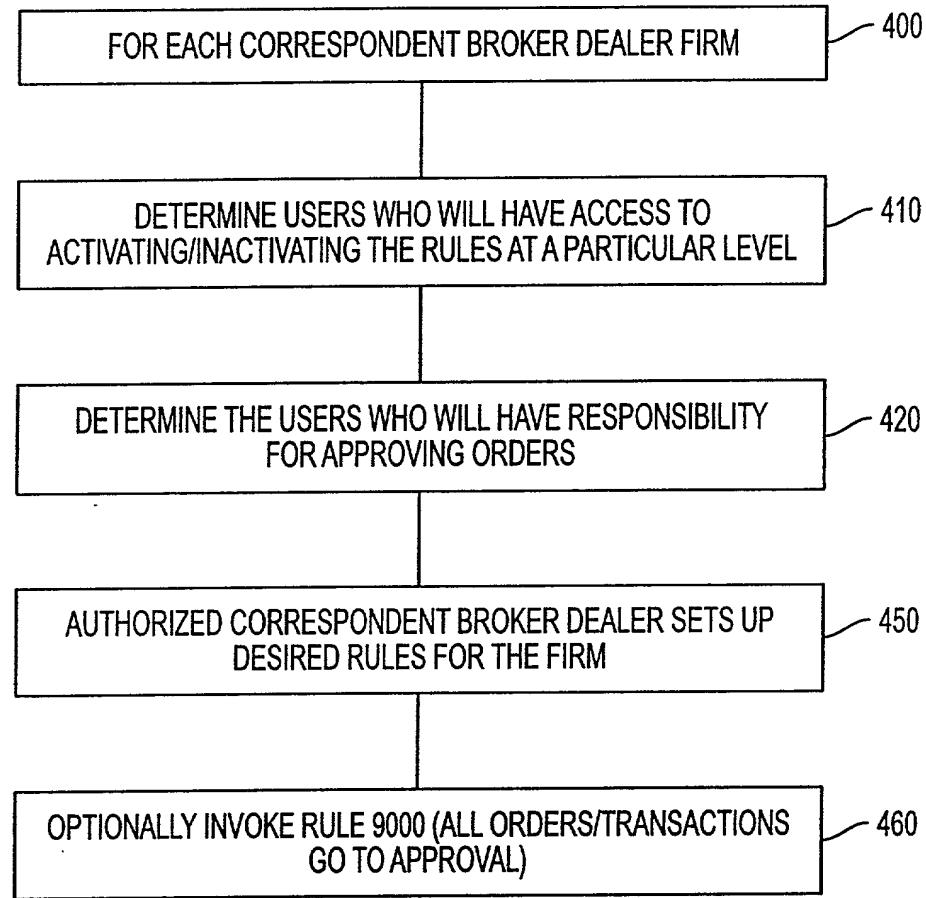


FIG. 4

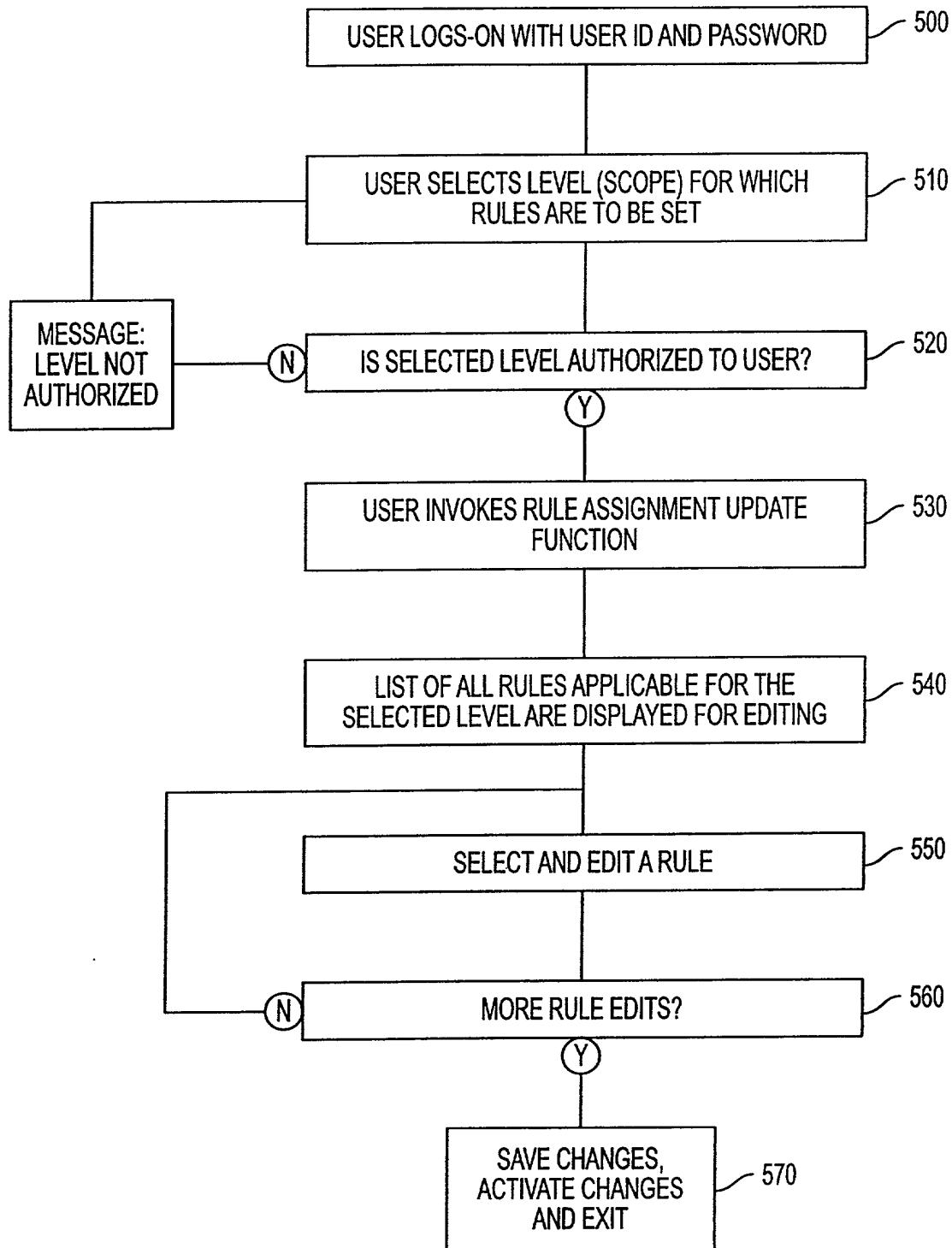


FIG. 5

G8E6 RULES ASSIGNMENT DEFINITION					01/29/99 10:21
FUNCTION: RAMN CORR: 40V ACCOUNT: _____ DATA: _____					NEXT: _____
MORE PAGES AVAILABLE					PAGE 1 OF 2
RR:	ACT	INHERITED RULE	OUT COME	RULE CODE	RULE DESCRIPTION
					PARM GROUP IND ID
P	P	P	S	1011	ACCOUNT CLOSE CHECK
P	P	P	S	1012	ACCOUNT TRANSFER CHECK
P	P	P	S	1013	ACCOUNT PENDING CLOSE
P	P	P	A	1014	OPTION EXPIRATION
P	P	P	A	1017	ADOPTION AGREEMENT
P	P	P	S	1018	MARGIN ORDER IN RETIREM
P	P	P	S	1019	SHORT SALE IN RETIREMEN
P	P	P	A	1052	OPTION PAPERS OF FILE
Y			A	1080	EQUITY SELL
Y			A	1081	EQUITY BUY TO COVER RUL
Y			A	1082	SELL TO CLOSE RULE
Y			A	1083	SELL TO OPEN RULE
Y			A	1084	BUY TO CLOSE RULE
			A	1085	EQUITY SHORT SALE
P	P	P	A	1101	MARGIN PAPERS

1=HELP 3=PREV 4=SAVE 5=CANCEL 7=BACK 8=NEXT 9=RULE CODE 10=RULE PARM 12=MENU

FIG. 6

FIG. 7

123456789012345678901234567890123456789012345678901234567890123456789012345678901234567890				
G8E6	RULE PARAMETER		02/22/99	10:11
FUNC:	CORR:	ACCT:	RR:	DATA:
RULE CODE: 1141 TRADING LIMIT RULE BY DOLLAR AMOUNT				
EQUITY	MUTUAL-FUNDS	OPTION	FIXED-INCOME	
PRCPL AMT - CUS	10000	50000	10000	100000
PRCPL AMT - BKR	100000	100000	50000	250000

FIG. 8

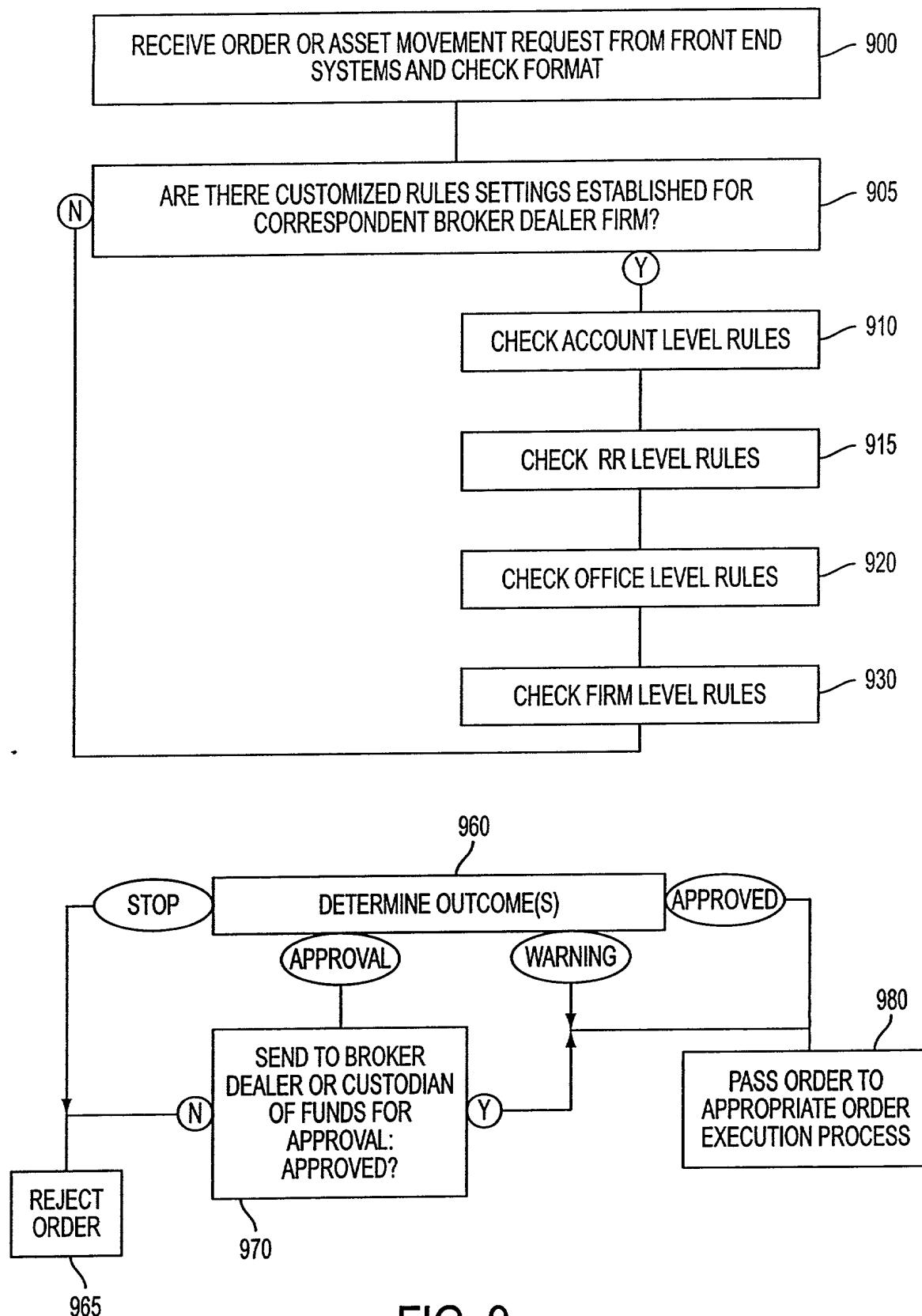


FIG. 9